

Additions underscored
Deletions [bracketed]

NYSE MKT Rules

General and Floor Rules

DEFINITIONS

* * * * *

0. Regulation of the Exchange and its Member Organizations

(a) Notwithstanding the Exchange's adoption of Rules 1 - Equities-1004 - Equities (the "Equities Rules"), all transactions conducted on or through the legacy systems or facilities of the Exchange located at 86 Trinity Place, New York, New York, including the AEMI trading platform, shall continue to be governed by the legacy Rules of the Exchange (as such rules may be amended from time to time), including Rules 1-1605 (General & Floor Definitions and Rules, Office Rules, Arbitration Rules, Contracts in Securities, Trading of Option Contracts, Trading of Certain Equity Derivatives, Trading of Stock Index and Currency Warrants, Trading of Trust Issued Receipts, Rules for After-Hours Trading Facility, Trading of Paired Trust Shares, Trading of Partnership Units and Trading of Trust Units), the Company Guide and AEMI Rules 1-1500 (including Section 910 of the Company Guide) (collectively, the "Non- Equities Rules"). For the avoidance of doubt, all disciplinary matters arising under the Non- Equities Rules shall be governed by Disciplinary Rules 475, 476, 476A, and 477[, 478T and 590], as amended.

* * * * *

Office Rules

* * * * *

Section 9A. Disciplinary Rules

* * * * *

Rule 476A. Imposition of Fines for Minor Violation(s) of Rules

* * * * *

Part 1B: [List of Legacy Rule Violations and Fines Applicable Thereto] Reserved

[The violations and fines listed in Part 1B are applicable only to trading activity and conduct on legacy Exchange trading systems located at 86 Trinity Place, New York, New York, as described in SR-Amex-2008-63 and SR-NYSEALTR-2008-14.

- Failure to submit books and records, to furnish information, or to appear and testify within the time period required by the Exchange. Rule 15(j), Rule 31, and Rule 153A and Rule 476)
- Violation of short sale borrowing and delivery requirements. (SEC Regulation SHO and Rule 7)
- Failure to comply with the SEC's Firm Quote Rule. (Rule 602 of Regulation NMS)
- Violation of the Limit Order Display Rule. (Rule 604 of Regulation NMS and Rules 958A(e) and 958A—ANTE(e))
- Violation of the Exchange's policy with respect to the proper submission of audit trail data, including both the failure to submit audit trail data and the failure to submit accurate audit trail data.
- Failure to comply with the Exchange's Auto-Ex Policy relating to signing on and off the Auto-Ex system
- Failure to comply with the Exchange's delayed opening policy. (Rule 119-AEMI (1)(c))
- Failure to comply with the Exchange's rules regarding openings. (Rules 108-AEMI(a) and (b) and 918-ANTE(a))
- Failure to comply with the Exchange's procedures for stopping orders. (Rule 109 which is made applicable top options by 950-ANTE(m))
- Failure to properly mark or identify and represent Floor orders as required under Exchange rules:
 1. Rule 110-AEMI (m); Rule 111, Commentary .04 (which is made applicable to options by Rule 950-ANTE(c)); Rule 153(g) which are made applicable to options by Rule 950-ANTE(a); and Rule 153-AEMI(e)
 2. Rule 950(c) & (d) and 957(d)
- Failure to comply with requirements relating to block sized cross transactions. (Rule 126 -AEMI, Commentaries .01, .02 and .03)
- Failure to comply with the Exchange's procedures for executing "cross" transactions. (Rule 151-AEMI and Rule 151 which is made applicable to options by Rule 950-ANTE (a))
- Failure to properly mark or identify and represent upstairs orders as required under Exchange rules. (Rule 153-AEMI(e); Rule 153 Commentary .01 and Rule 153(g) (which

are made applicable to options by Rule 950-ANTE (a)); Rule 950(c) & (d); 957(d); and Rule 958A-ANTE (b))

- Violation of principal/agent prohibition. (Rules 110-AEMI(e) and 111(c) (which is made applicable to options by Rule 950-ANTE (c))
- Failure to comply with the Exchange's procedures for taking or supplying securities to fill a customer's order. (Rule 152-AEMI and Rule 152 which is made applicable to options by Rule 950-ANTE(a))
- Violation of record keeping requirements. (Rule 153-AEMI; Rules 153 (which is made applicable to options by Rule 950-ANTE(a)); and Securities and Exchange Act Rules 17a-3 and 17a-4)
- Failure to comply with the Exchange's procedures regarding the election of stop orders. (Rules 154, Commentary .04(a) and (b), and 950-ANTE(f))
- Violation of the Exchange's rules regarding orders left with specialists. (Rules 154-AEMI and Rule 154 which is made applicable to options by 950-ANTE (f))
- Failure to comply with the "1%, 2, 1, 1/2 Point Rule". (Rule 154-AEMI(e))
- Failure to comply with the Exchange's rules regarding the precedence of orders entrusted to specialists. (Rule 155-AEMI and Rule 155 which is made applicable to options by Rule 950-ANTE(a))
- Failure to comply with the Exchange's rules regarding the execution of orders. (Rules 156-AEMI and Rule 156 which is made applicable to options by Rule 950-ANTE(g))
- Failure by specialists to obtain Floor Official approval when establishing, increasing or liquidating a position. (Rule 170-AEMI, Commentaries .01 and .02)
- Failure to follow proper procedures regarding a specialist long term investment account. (Rule 170-AEMI, Commentary .07)
- Failure to obtain Exchange approval, or failure to comply with the terms of approval, for member or member firm proprietary electronic devices or systems used on the Exchange Floor. (Rule 220-AEMI)
- Failure to comply with the U-4, U-5 and fingerprint submission policies. (Rule 340, Commentary .01)
- Violation of reporting rules. (Rules 342(c) and (f); 906, 906C and 1305)
- Failure to attend mandatory continuing education as required by Rule 50 and 1A-AEMI(f)

- Violation of position limit rules. (Rules 904, 904C, 1107 and such other rules as the Exchange may adopt from time to time to establish position limits for securities admitted to trading)
- Violation of exercise limit rules. (Rules 905, 905C, 1108 and such other rules as the Exchange may adopt from time to time to establish exercise limits for securities admitted to trading)
- Failure to comply with the Exchange's "facilitation" policy. (Rule 950-ANTE(d), Commentaries .02 and .03)
- Failure to comply with the Exchange's "solicitation" policy. (Rule 950-ANTE(d), Commentaries .02 and .04)
- Failure to quote options markets within the maximum quote spread differentials. (Rules 950-ANTE(l), Commentary .02; 958-ANTE(c))
- Failure to comply with the Exchange's modified firm quote rule. (Rule 958A-ANTE)
- Violation of option exercise rule. (Rule 980 and 980C)
- Failure to comply with trade reporting requirements for options. (Rule 992)
- Violation of Exchange rules regarding the Options Linkage program relating to the Responding to and Receiving of Linkage Orders (Rule 941(d) and (e)); Avoidance and Satisfaction of Trade-Throughs (Rule 942(a)); and Locked Markets (Rule 943).
- Failure to make and/or document an affirmative determination of the availability for borrowing of shares prior to effecting short sale transactions. (Regulation SHO Rule 302(b)(1).
- Failure to comply with the requirement to submit or cause to be submitted trade data for comparison. (Rule 719; Rule 719-AEMI, and Rule 155, Commentary .01 which is made applicable to options by 950-ANTE)
- Failure to comply with the Exchange's procedures regarding maintaining and utilizing the Exchange provided automatic quote system as a back-up to the Exchange-approved proprietary automatic quote system. (Rule 950—ANTE(l), Commentary .02(a))
- Failure to comply with the Exchange's Bunching of Odd-Lot Orders rule. (Rule 208)
- Failure to comply with ROT quoting requirements (Rule 958—ANTE (c))
- Failure to comply with SROT quoting requirements (Rule 958—ANTE(c) in at least 60% of the series of their assigned classes (Rule 993—ANTE (b)(ii))

- Failure to comply with RROT quoting requirements (Rule 958—ANTE(c) in at least 60% of the series of their assigned classes (Rule 994—ANTE (c)(iv))
- Violation of restriction from quoting outside assigned classes (Rules 958—ANTE (a), 994—ANTE (c)(iii), 993—ANTE, Commentary .03)
- Failure to comply with the Exchange's Market on Close Policy and Expiration Procedures. (Rule 131A-AEMI)
- Violations of the ROT in-class trading requirement (Rule 958-ANTE(a), Commentary .03)
- Violations of the Registered Trader in-class trading requirement (110-AEMI, Commentary .03)
- Violations of the ROT in-person requirement (958-ANTE(g), Commentaries .01 and .03)

Fine Amount	Individual	Member Organization
1st Offense	\$500	\$1,000
2nd Offense [*]	\$1,000	\$2,500
Subsequent Offenses [*]	\$2,500	\$5,000

^{*} Within a “rolling” 24 month period from the date of the violation.]

* * * * *

[Rule 478T. Temporary Procedures Governing Legacy Disciplinary Proceedings]

Text deleted in its entirety

* * * * *

[Minor Rule Violation Fine Systems]

[Rule 590. Part 1 General Rule Violations]

Text deleted in its entirety

[Rule 590. Part 2 Floor Decorum Violations]

Text deleted in its entirety

[Rule 590. Part 3 Reporting Violations]

Text deleted in its entirety

* * * * *